



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/055,289	01/23/2002	Gavin Clarkson	017078.000003

CONFIRMATION NO. 7535

## FORMALITIES LETTER



\*OC000000007480820\*

Attn: Robert C. Curfiss  
BRACEWELL & PATTERSON, L.L.P.  
P.O. Box 61389  
Houston, TX 77208-1389

COPY OF PAPERS  
ORIGINALLY FILED

Date Mailed: 02/14/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

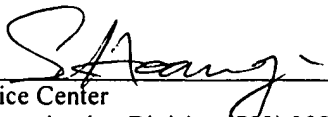
FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$430.65.00

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

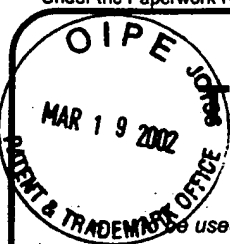
PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/21/2002 SDENBOB1 00000066 10055289

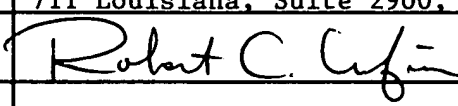
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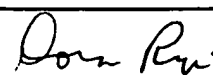
65.00 OP

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

 <p><b>TRANSMITTAL FORM</b></p> <p>9</p> <p>Use for all correspondence after initial filing)</p>	Applicati n Num b r	10/055,289
	Filing Date	01/23/02
	First Named Inventor	Gavin Clarkson
	Group Art Unit	
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number 017078.000003	

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached = check for \$65.00 small entity <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): <input checked="" type="checkbox"/> Postcard
Remarks: Applicant is a small entity as shown by attached copy of patent application transmittal form.		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Robert C. Curfiss Bracewell & Patterson, L.L.P. 711 Louisiana, Suite 2900, Houston, TX 77002
Signature	
Date	March 11, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 3-11-02.			
Typed or printed name	Dora Rios		
Signature		Date	3-11-02.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> (Only for new nonprovisional applications under 37 CFR 1.53(b))		Attorney Docket No.: 017078.000003
		First Named Inventor or Application identifier: Gavin Clarkson
ADDRESS TO: Assistant Commissioner of Patents Box Patent Application Washington, DC 20231		Title: Method for Deriving Optimal Income Stream in Intellectual Asset Transactions
		Express Mail No.: EL 901962424 US

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form PTO/SB/17 (submit in duplicate)
2. ☒ Specification [Total Pages: 19]
3. ☒ Drawing(s) (35 USC 113) [Total Sheets: 0]
4. ☐ Oath or Declaration [Total Pages: 19]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with No. 17 completed)  
[Note No. 5 below]
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application, see  
37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if No. 4b is  
checked)  
The entire disclosure of the prior application, from which a copy of  
the oath or declaration is supplied under No. 4b, is considered as  
being part of the disclosure of the accompanying application and is  
hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement verifying identity of above  
copies

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement  
(when there is an assignment)  
Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure  
Statement (IDS)/PTO-1449  
Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (Itemized)
14. ☐ Small Entity Statement(s)  
Statement filed in prior application. Status still  
proper and desired
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

### ACCOMPANYING APPLICATION PARTS

17. If a CONTINUING APPLICATION, check appropriate blank and supply the requisite information:

☐ Continuation  
☐ Divisional  
☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

<b>18. Correspondence Address</b>					
<input type="checkbox"/> Customer Number or Bar Code Label or <input checked="" type="checkbox"/> Correspondence address below (Insert Customer No. or Attach bar code label here)					
Name	Attn: Robert C. Curfiss BRACEWELL & PATTERSON, L.L.P.				
Address	P.O. Box 61389				
City	Houston	State	Texas	Zip Code	77208-1389
Country	U.S.A.	Telephone	(713) 221-1430	Fax	(713) 221-2113

Date: 1/23/02

Robert C. Curfiss, Reg. No. 26,140

**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.

37 CFR §§ 1.27 &amp; 1.28

Complete if Known

Application Number

Filing Date

First Named Inventor

Gavin Clarkson

Examiner Name

Group / Art Unit

Total Amount of Payment \$370.00

Attorney Docket No.

017078.000003

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account No.: 50-0259

Deposit Account Name:

Bracewell & Patterson, L.L.P.

- ☒
- Charge any additional Fee Required Under 37 CFR §§ 1.16 & 1.17

☐ Charge the Issue Fee Set in 37 CFR § 1.18 at the Mailing of the Notice of Allowance

- 2.
- ☐
- Payment Enclosed:
- ☐
- Check
- 
- ☐
- Money Order
- ☐
- Other

**FEE CALCULATION****1. Basic Filing Fee**

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid
\$740	\$370	Utility Filing Fee	\$370.00
\$320	\$160	Design Filing Fee	\$
\$490	\$245	Plant Filing Fee	\$
\$710	\$355	Reissue Filing Fee	\$
\$150	\$75	Provisional Filing Fee	\$
Subtotal (1)			\$370.00

**2. Extra Claim Fees**

Claims	Extra	Fee (below)	Fee Paid
Total 11-20** =	0	x \$9.00	= \$0
Indep. 1-3** =	0	x \$42.00	= \$0
Multiple Dependent			\$0

\*\*or number previously paid, if greater.  
For Reissues, see below

Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description
\$18	\$9.00	Claims in excess of 20
\$80	\$42	Independent claims in excess of 3
\$270	\$135	Multiple dependent claim, if not paid
\$80	\$40	**Reissue independent claims over original patent
\$18	\$9	**Reissue claims in excess of 20 and over original patent
Subtotal (2)		\$

**FEE CALCULATION (continued)****3. Additional Fees**

Large Entity	Small Entity	Fee Description	Fee Paid
\$130	\$65	Surcharge - late fee or oath	\$
\$50	\$25	Surcharge - late provisional filing fee or cover sheet	\$
\$2,520	\$2,520	Request for Reexamination	\$
\$110	\$55	Extension for reply within first month	\$
\$380	\$190	Extension for reply within second month	\$
\$870	\$435	Extension for reply within third month	\$
\$1,360	\$680	Extension for reply within fourth month	\$
\$1,850	\$925	Extension for reply within fifth month	\$
\$300	\$150	Notice of Appeal	\$
\$300	\$150	Filing a brief in support of an appeal	\$
\$260	\$130	Request for oral hearing	\$
\$110	\$55	Petition to revive - unavoidable	\$
\$1,210	\$605	Petition to revive - unintentional	\$
\$1,210	\$605	Utility issue fee (or reissue)	\$
\$430	\$215	Design issue fee	\$
\$580	\$290	Plant issue fee	\$
\$130	\$130	Petitions to the Commissioner	\$
\$50	\$50	Petitions related to provisional applications	\$
\$240	\$240	Submission of Information Disclosure Statement	\$
\$760	\$380	Filing a submission after final rejection (37 CFR 1.129(a))	\$
Other fee (specify):			\$
Other fee (specify):			\$
Subtotal (3)			\$0

Submitted by

Robert C. Curfiss, Reg. No. 26,540

